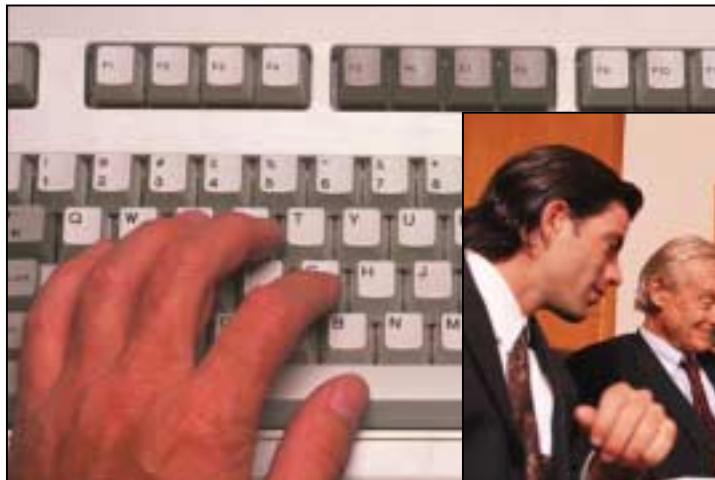# Internal Audit Report

Integrated Criminal Justice Information System (ICJIS) Follow-Up Review

January 2004

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Don Stapley, Supervisor, District II	Paul Allsing, Acting CIO
Max W. Wilson, Supervisor, District IV	Audit Advisory Committee
Mary Rose Wilcox, Supervisor, District V	ICJIS Executive Committee

We have completed our FY 2003-04 follow-up review of the Integrated Criminal Justice Information System (ICJIS). This audit was performed in accordance with the annual audit plan approved by the Board of Supervisors. The independent risk consulting firm of Protiviti, Inc performed the review. Maricopa County's Internal Audit Department provided direction and oversight.

The highlights of this report include:

- Overall, the auditors found that ICJIS project management controls have improved since December 2002 and appear to be functioning effectively.

- The auditors noted 14 of the original 16 recommendations for improvement have been addressed. The remaining two recommendations relate to the lack of an "end-game" strategy.

This report contains an executive summary, the detailed findings and recommendations from the September 2002 report, and our comments on the status of the recommendations. We have also included comments by the ICJIS Executive Team (see page 10). We have reviewed this information with the ICJIS Project Director and appreciate the excellent cooperation provided by the ICJIS Executive Committee, ICJIS management and staff. If you have any questions, or wish to discuss the information presented in this report, please contact Susan Adams at 506-1587.

Sincerely,

Ross L. Tate
County Auditor

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Prior Audit Issue Status

The chart below identifies the current status of each of the issues identified during the September 2002 ICJIS Project Review. In addition, each issue is referenced to more detailed information in the report.

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Introduction

Background

Maricopa County Voters approved Proposition 400 in 1998, which raised the sales tax collected within the County by 1/5th of a cent. These funds are being used to build new adult and juvenile detention facilities and pay for programs aimed at reducing the overall jail population. The integration of electronic information used in the criminal justice system (ICJIS) is an important part of this initiative.

During FY 2002, Internal Audit conducted a review of the ICJIS project with the objective of evaluating controls related to management and execution of ICJIS implementation. The report, issued September 2002, identified issues relating to management controls, including, project planning, project operational controls, resource use, communications, and reporting.

Scope and Methodology

The objective of this year's review was to follow-up on all prior-year audit recommendations. This was accomplished by interviewing key stakeholders and members of the ICJIS Project Team, reviewing supporting project documentation, identifying additional controls that have been added to the project since December 2002, and noting improvement opportunities, if any.

The Internal Audit Department provided direction and oversight of work performed by the independent risk consulting firm of Protiviti Inc. In May 2003, County justice system officials requested additional technical assistance from SEARCH. SEARCH, The National Consortium for Justice Information and Statistics, provides onsite, no-cost assistance to state and local jurisdictions in planning and implementing automated and integrated information systems. SEARCH was asked to review the current status of the project, specifically the changed landscape and current priorities, and to make recommendations for changes, and for continuing operations. The SEARCH report, submitted October 2003, has not been formally issued or released, however, the ICJIS Project Director has shared its content with the Business Team and considered many of its recommendations.

Prior Audit Issue Follow-up

Issue #1: Project Budget Setting Status: Complete	**A detailed process of defining project goals, projecting resources, and calculating the costs of obtaining those goals was not performed to establish the project budget.** **Recommendation:** The Executive Committee and Business Team should re-address the original goals of the ICJIS project, and then work with the ICJIS project team to develop an accurate budget reflective of the objectives, as authorized by the Board of Supervisors. **Follow-Up Status:** The Executive Committee has implemented and/or revised the following: • Bi-Annual Strategic Business Plan Process updated as of April 3, 2003 • Fiscal Year Operational Plan Process updated as of April 3, 2003 • Fiscal Year Budget Plan Process updated as of April 3, 2003 • ICJIS Projects Process updated as of December 10, 2002 Ongoing Phase I projects were re-evaluated, re-prioritized, and re-budgeted according to the ICJIS Projects Process as of December 10, 2002.
Issue #2: Contingency Planning Status: Open	**Contingency plans addressing cessation of project funding have not been developed.** **Recommendation:** The ICJIS team should devise a plan that anticipates no additional funding beyond the original $25 million budget. The plan should include specific tasks that address objectives within Phase I to be completed prior to July 2005. **Follow-Up Status:** The ICJIS Project Team has drafted an "end-game" strategy as of November 21, 2003. The strategy is a two-tier plan. Tier I is recommended in the event the $25 million is exhausted and no additional funds are made available. Tier II is recommended in the event additional funds are provided beyond Tier 1 operational costs to continue with the development and identification of projects and the creation of internal and external data exchanges. **The ICJIS team should finalize an "end-game" strategy and submit it for proper approval.**

Issue #3: Strategic and Tactical Project Plans Status: Complete	**Up-to-date project plans and periodic project plan "snapshots" are not maintained by the ICJIS project team. Strategic plans do not include detailed prioritization of tasks, adequate description of tasks, sufficient budget information, or adequate detail of project task phasing.** **Recommendation:** The ICJIS project team should adhere to more structured project management disciplines such as maintenance of comprehensive project plans, formal change control procedures, quality assurance, etc. **Follow-Up Status:** The Executive Committee hired an ICJIS Project Director who began in July of 2003. The Committee has also revised the Bi-Annual Strategic Business Plan process as of December 10, 2002 with the most recent plan as of April 3, 2003.
Issue #4: Project "End-Game" Strategy Status: Open	**The ICJIS project team has not developed an end-game strategy that considers support of ICJIS systems at the completion of the project.** **Recommendation:** The Executive Team should initiate a formal process to determine the provision for ongoing maintenance of the ICJIS hardware, applications, and support staff. **Follow-Up Status:** The ICJIS Project Team has drafted an "end-game" strategy as of November 21, 2003. This strategy is currently based on a two-tier plan. Tier I is recommended in the event the $25 million is exhausted and no additional funds are made available. Tier II is recommended in the event funds are provided beyond the operational costs identified in Tier I to continue with the development and identification of projects and the creation of internal and external data exchanges. **The ICJIS team should finalize an "end-game" strategy and submit it for proper approval.**
Issue #5: Physical and Logical Security Status: Complete	**Many security features typically found in a project of this nature such as security policy, logical and physical security controls, security matrix, logical and physical security testing, and security logs and monitoring processes were not evident in the ICJIS project.** **Recommendation:** The ICJIS project team should expedite the creation of the security processes required to support this project, including, but not limited to a security policy, documented logical

	and physical security controls, a security matrix, testing of the security environment, and a security logging and monitoring process. **Follow-Up Status:** The Executive Committee approved the most recent version of the ICJIS Security Policy as of April 15, 2003. This Policy defines physical, administrative, and technical security requirements, among other things.
Issue #6: **Overall Project Controls** **Status: Complete**	**Controls do not appear to be in place to adequately evaluate, verify, and validate project processes and deliverables.** **Recommendation:** The ICJIS project team should implement an independent project performance verification and validation process to monitor the ICJIS project. **Follow-Up Status:** The Executive Committee approved the ICJIS Projects Process as of December 10, 2002. The most recent version of ICJIS Project Management Practices Guide, dated September 15, 2003, is the procedure document for this process. This guide defines scope, schedule, cost, quality, and issue and risk management project controls, among other things.
Issue #7: **Inter-Agency Project Controls** **Status: Complete**	**The project controls between the various County teams and committees (Business, JaLET, OMB, and Citizen's Oversight Committee) are not operating effectively.** **Recommendation:** The ICJIS project should adhere to the documented roles and responsibilities of the various committees and County entities. **Follow-Up Status:** The Executive Committee approved the ICJIS Projects Process as of December 10, 2002. This Process has further defined and documented the roles and responsibilities of the various committees and County entities.
Issue #8: **Project Priority Setting** **Status: Complete**	**The Executive and Business Teams are not adequately engaged in setting project priorities.** **Recommendation:** The Executive Committee and Business Team should develop a process for identifying project priorities and require the ICJIS Project Director to create and adhere to a project plan that addresses these requirements.

	Follow-Up Status: The Executive Committee hired an ICJIS Project Director who began in July of 2003. Ongoing Phase I projects were re-evaluated, re-prioritized, and re-budgeted according to the ICJIS Projects Process as of December 10, 2002. The Executive Committee approved fiscal year operational and budget plan processes as of December 10, 2002.
Issue #9: **Change Management** **Status: Complete**	**The impact of project changes or task additions does not appear to be adequately defined or addressed by the ICJIS project team.** **Recommendation:** The ICJIS project team should create a formal change control process that addresses project-staffing requirements, resource requirements, and schedule modifications, as stakeholders approve changes. **Follow-Up Status:** The Executive Committee approved the ICJIS Projects Process as of December 10, 2002. The most recent version of ICJIS Project Management Practices Guide, dated September 15, 2003, is the procedure document for this process. This guide outlines the basic project approval and development process including: visioning and business planning, analysis and design, application development and testing, operational testing and implementation and post-implementation operations and support.
Issue #10: **Project Budget Process** **Status: Complete**	**The ICJIS project budget for 2002/03 lacks sufficient detail to determine specific intended purchases and the rationale driving the purchase.** **Recommendation:** The ICJIS Project Director should provide detailed budget information as requested by the project stakeholders and the OMB. The budget information should include a detailed list of hardware/software required, a description of consultative assistance, purchased versus developed software, the integration feeds, etc. **Follow-Up Status:** The Executive Committee hired an ICJIS Project Director who began in July of 2003 and approved the revised fiscal year budget plan process as of December 10, 2002. The most recent budget plan is as of April 3, 2003 and defines salaries, benefits, integration of data among County justice information systems, ICJIS infrastructure, State and Federal system security, and integration of data with external justice information systems.

Issue #11: **Test Approval** **Status: Complete**	**Test and quality assurance processes lack formal approval and acceptance processes.** **Recommendation:** The ICJIS project team should develop a formal approval and acceptance process for completed tasks. The acceptance process should include sign-off of completed tasks by the Agency stakeholder(s) affected by the completed activity, thereby allowing relevant parties to confirm satisfaction with the outcome of testing/implementation. **Follow-Up Status:** The Executive Committee approved the ICJIS Projects Process as of December 10, 2002. This process defines and documents, among other things, a formal approval and acceptance process for completed tasks by way of a Request for Production Release form.
Issue #12: **Proper Use of Studies** **Status: Complete**	**Goals, direction, and action plans based on third-party studies have not been appropriately developed nor have they been challenged by an independent quality assurance function.** **Recommendation:** The ICJIS project team should develop action plans based on the studies, indicating the specific project tasks and resources required, the costs to implement those tasks, and the anticipated outcome of those actions. **Follow-Up Status:** The Executive Committee hired an ICJIS Project Director who began in July of 2003. SEARCH, a national consortium that provides on-site, no-cost assistance to state and local jurisdictions in planning for and implementing automated and integrated information systems, completed its study on October 24, 2003. The ICJIS Project Director and Business Team have discussed the report.
Issue #13: **ICJIS 7-Year Communications Forecast** **Status: Complete**	**The ICJIS 7-Year Communications Forecast does not provide sufficient, detailed information to describe the hardware, software and data connectivity required to support the ICJIS project's secured backbone.** **Recommendation:** The ICJIS project team should expedite the creation of a detailed project plan with supporting documentation to adequately define and support the creation of a secure data network that supports Agency requirements. **Follow-Up Status:** A new ICJIS 7-Year Communications Forecast, dated and approved by the Executive Committee on

	October 15, 2003, has been completed in response to this issue. The Network Security Officer will continue implementing the approved projects within the forecast by providing coordination between County Telecommunications and the ICJIS Agency.
Issue #14: **Training** **Status: Complete**	**The current projected training budget, as expressed in the ICJIS Summary budget, does not appear to be adequate to support the ongoing training needs of the ICJIS team or the supporting Agency IT staff.** **Recommendation:** The ICJIS project team should perform an assessment to determine the number of County employees and contractors who will require training for each project task, and the cost of providing those classes, to develop an accurate project training budget. **Follow-Up Status:** The Executive Committee hired an ICJIS Project Director who began in July of 2003 and approved the revised fiscal year budget plan process as of December 10, 2002. The most recent budget plan is as of April 3, 2003 and defines training as object code 842 with a fiscal year 2003-2004 budget of $10,000.
Issue #15: **Monthly Status Reports** **Status: Complete**	**Neither the old nor the new ICJIS Monthly Status Report formats provides adequate project information to determine the status of ICJIS tasks or projects.** **Recommendation:** The ICJIS project team should develop a monthly status report that accurately represents the progress of each significant project task. In addition, the report should include a summary of project risks and steps being considered to mitigate those risks. **Follow-Up Status:** The ICJIS Project Team publishes a Monthly Project Status Report to provide an update on project progress and regularly report to ICJIS Project Stakeholders. The Monthly Project Status Report includes: the program title, project title, project leader, project description, desired results, accomplishments, upcoming deliverables, and comments on risks or policy decisions that may be of significance to the progress of the project.

Issue #16: Lack of Project Information Status: Complete	**Lack of adequate information regarding task prioritization and project milestones from the ICJIS project team has resulted in excessive discussion and debate at the Business Team meetings.** **Recommendation:** The ICJIS team should provide sufficient, detailed information on a timely basis to the project stakeholders. The Business Team members and their respective Agencies can use this information to adequately prepare to support ICJIS project initiatives. **Follow-Up Status:** The ICJIS Project Team publishes a Monthly Project Status Report to provide an update on project progress and regularly report to ICJIS Project Stakeholders. The Monthly Project Status Report includes: the program title, project title, project leader, project description, desired results, accomplishments, upcoming deliverables, and comments on risks or policy decisions that may be of significance to the progress of the project. Each of the Executive Committee members verbally conveyed a level of comfort about the communication frequency and readily supported on-line voting, rather than meeting in person, when deemed appropriate. However, additional communication and clarification may be needed on topics such as "completion of interchanges" where team members are in disagreement.

Executive Committee/Management Comments

Richard Romley, County Attorney

The follow-up review of the Integrated Criminal Justice Information System conducted by Protiviti with oversight by Maricopa County Internal Audit demonstrates the corrective steps that have been taken by ICJIS in response to the 2003 audit.

I concur with all of the findings with one exception. In response to Issue #16 "Lack of Project Information", the auditors stated: "… Additional communication and clarification may be needed on topics such as 'completion of interchanges' where team members are in disagreement." It became apparent to me that this is a significant problem when the ICJIS staff designated a project as complete after the technology to pass data through the exchange was developed, despite the fact that many departments, including my Office, weren't receiving data in a useful format. It is for these reasons that it is essential that the ICJIS Executive Committee agree on a clear definition of what it takes to declare a project or data exchange complete. Therefore, it is my recommendation that the status for Issue #16 be changed from "Complete" to "Open".

The Integrated Criminal Justice Information System project is essential to Maricopa County's criminal justice system. I am pleased that corrective steps have been taken to ensure that the goals of this project are successfully met.

No other comments were submitted by the Executive Committee or County Management.